



OFFICE OF HOMELAND SECURITY

January 23, 2008

Kevin Duggan, City Manager
 City of Mountain View
 500 Castro Street
 Mountain View, CA 94039

Monitoring Report #M08-003

Dear Mr. Duggan:

On January 22, 2008, the Office of Homeland Security (OHS), Monitoring and Audits Unit, Program Monitor, James Lewis conducted a desk monitoring review for the purpose of monitoring the City of Mountain View OHS Critical Infrastructure Protection (CIP) Grant Program. I wish to thank you and your staff for the courtesy extended to Mr. Lewis during the review process. Enclosed, you will find the monitoring report for the following grant:

GRANT	PROGRAM NAME	PERIOD MONITORED
2003-0035 #085-49670	FY 2003-0035 Part II Critical Infrastructural Protection (CIP)	03/17/03 - 04/16/03

The monitoring included a review of staffing needs, operational practices, source documentation, activities, and data reporting requirements. In addition, the monitor examined the grant for compliance with federal financial, administrative and auditing requirements, program guidelines, and other mandates as applicable. Finally, the monitor performed a selected review of accounting records that support the amounts claimed in your reimbursement requests. Project expenditures were validated to provide reasonable assurance that expenses are related to the grant, proper records are maintained, and expenditures are properly authorized and recorded.

As a reminder, the purpose of monitoring is to assist projects in the achievement of their goals and aiding them in administering their grant funds in the most effective and efficient manner. The monitoring is used as a tool to assist the subgrantee in complying with these requirements. Your OHS Program Representative will receive a copy of the monitoring report. Their name and phone number are identified on the face sheet of the report.

If the monitoring report does not identify any findings, a Corrective Action Plan is not necessary and the monitoring process is complete. **If any findings are identified in the monitoring report, you will have 120 days from the last day of the monitoring review to submit a Correction Action Plan to the Program Monitor.**

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The corrective action process provides two options:

Option One – The subgrantee self certifies by the submission of an Action Plan that details the corrective steps implemented, and that any finding(s) noted in the monitoring report are resolved.

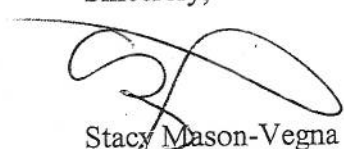
Option Two – Submission of an outlined Corrective Action Plan that addresses the findings noted in this report to be reviewed and approved by OHS program staff (i.e. technical assistance).

When corresponding to our office regarding this monitoring report, please include the monitoring control number on all correspondence. Send your response to:

Governor's Office of Homeland Security
Grants Administrative Section
Monitoring & Audits Unit
State Capitol
Sacramento, California 95814

Thank you for your participation in the monitoring process. If you have any questions regarding this letter or the attached report, please feel free to contact me at (916) 323-7611.

Sincerely,



Stacy Mason-Vegna
Program Manager
Grants Monitoring & Audits Unit

Attachment

cc: Steve Loukopoulos, Accounting Officer
Maybel Garing, OHS Program Representative
Monitoring & Audits Unit, chron file
Grants Management Unit, grant file

Monitoring Report Response Form

TO: Governor's Office of Homeland Security Grant Numbers: 2003-0035
Grants Management Section
Monitoring & Audits Unit Monitoring Control #M08-003
State Capitol Number: _____
Sacramento, CA 95814

Attention: Stacy Mason-Vegna Response Due: Feb. 24, 2008
Program Manager

FROM: Subgrantee: City of Mountain View

Option One

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I have reviewed and acknowledge receipt of the above referenced monitoring report.

Authorized Signature

Title

Date

Typed Name

Title

Telephone Number



CALIFORNIA GOVERNOR'S OFFICE OF HOMELAND SECURITY MONITORING NARRATIVE REPORT

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
2003-0035 #085-49670	FY03 Part II Critical Infrastructure Program (CIP)	03/17/03 – 04/16/03	\$1,164

City of Mountain View			
AUTHORIZED AGENT:	Kevin Duggan	ADDRESS:	500 Castro Street Mountain View, CA 94039
CONTACT EMAIL:	kevin.duggan@ci.mtnview.ca.us		
CONTACT PHONE NUMBER:	(650) 903-6480		
ALTERNATE POINT of CONTACT:	Steve Loukopoulos		
CONTACT EMAIL:	steve.loukopoulos@mountainview		
PROGRAM REPRESENTATIVE:	Maybel Garing	E-mail:	Maybel.Garing@ohs.ca.gov
PHONE NUMBER:	(916) 324-9312		
PROGRAM MONITOR:	James Lewis	E-mail:	James.Lewis@ohs.ca.gov
PHONE NUMBER:	(916) 322-2335	DATE OF MONITORING:	January 22, 2008

PERSONS INTERVIEWED DURING MONITORING VISIT

NAME	TITLE	AGENCY
Steve Loukopoulos (by phone)	Accounting Officer	City of Mountain View Admin. Services

Prepared by:

James Lewis, Program Monitor, OHS Administration Division, Monitoring & Audits Unit

Date

1/22/08

Approved by:

Stacy Mason-Vegna, Program Manager, OHS Administration Division, Monitoring & Audits Unit

Date

1/25/08

Monitoring Date: January 22, 2008

City of Mountain View Monitoring Report

Monitoring Report Summary	Total # of Items in Category	In Compliance	Not in Compliance	Not Monitored	Not Applicable	Total
A. Administrative Review						
Review of Audit Reports	2	2				2
Grant Assurances	1			1		1
Grant Approval Notification	2	2				2
Performance Reports	1				1	1
Homeland Security Strategies	1				1	1
Publication of Published Materials	1				1	1
B. Programmatic Review						
Program Goals and Objectives	2	2				2
Exercise	2				2	2
Training	1				1	1
Planning	1				1	1
C. Financial Management						
Accounting System	8	8				8
Distribution of Funds	1				1	1
Advance of Funds	2				2	2
Change Requests/Modifications	2	2				2
Maintenance of Records	1				1	1
D. Fiscal: Personnel Services						
Management and Administrative Services	3	1		1	1	3
Overtime/Back Fill	3	3				3
E. Fiscal: Procurement						
Responsibility	1				1	1
Methods of Procurement	4				4	4
F. Fiscal: Equipment & Property Management						
Equipment Purchases	3				3	3
Property Management & Records Keeping	2				2	2
G. Subgrantee Monitoring & Oversight						
Subrecipient single audit requirements	1				1	1
Management and Administrative Responsibility	1				1	1
Overtime/Backfill/CTO Responsibility	1				1	1
Procurement Responsibility	1				1	1
Equipment & Property Management Responsibility	1				1	1
Total	49	20	0	2	27	49

City of Mountain View Monitoring Report

PROGRAM SUMMARY

Corrective Action Plan: Not Required.

MONITORING REPORT DETAIL

- A. Administrative Review:** Subgrantee in compliance (4 items). Subgrantee not monitored (1 item). Not applicable for Subgrantee (3 items).
1. **Review of Audit Report:** Subgrantee in compliance (2 items).
 2. **Grant Assurances:** Subgrantee not monitored. (1 item).
 3. **Grant Approval Notification:** Subgrantee in compliance (2 items).
 4. **Performance Reports:** Not applicable for Subgrantee (1 item).
 5. **Homeland Security Strategies:** Not applicable for Subgrantee (1 item).
 6. **Publication of Materials:** Not applicable for Subgrantee (1 item).
- B. Programmatic Review:** Subgrantee in compliance (2 items); Not applicable for Subgrantee (4 items).
1. **Program Goals & Objectives:** Subgrantee in compliance (2 items).
 2. **Exercise:** Not applicable for Subgrantee (2 items)
 3. **Training:** Not applicable for Subgrantee (1 item).
 4. **Planning:** Not applicable for Subgrantee (1 items).
- C. Financial Management:** Subgrantee in compliance (9 items); Not applicable for Subgrantee (5 items).
1. **Accounting System:** Subgrantee in compliance (8 items).
 2. **Distribution of Funds:** Not applicable for Subgrantee (1 item).
 3. **Advance of Funds:** Not applicable for Subgrantee (2 items).

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C. 4. **Change Request/Modifications:** Subgrantee in compliance (1 item); Not applicable for Subgrantee (1 item).

a. Prior Approval: Subgrantee in compliance (1 item).

Note: The Program Monitor notes a modification in the grant file's budget detail worksheet. The amount claimed is \$.91 less than the original request. There appears to be no prior approval from the OHS Grants Administrative Unit for this modification; however, the resulting amount of \$1,146 is the grant award for the CIP. The OHS requests that the subgrantee submit any documentation of acknowledgment by the OHS of this modification in a self-certified statement.

b. Retention: Subgrantee in compliance (1 item).

5. **Records Maintenance:** Not applicable for Subgrantee (1 item).

D. **Fiscal: Personnel Services:** Subgrantee in compliance (4 items); Subgrantee not monitored (1 item); Not applicable for Subgrantee (1 item).

1. **Management and Administrative Services:** Subgrantee in compliance (1 item); Subgrantee not monitored (1 item); Not applicable for Subgrantee (1 item).

a. Allocation: Subgrantee not monitored (1 item).

b. Allowable Costs/Activities: Not applicable for Subgrantee (1 item).

c. Functional Timesheets: Subgrantee in compliance (1 item).

2. **Overtime/Backfill and/or CTO:** Subgrantee in compliance (3 items).

E. **Fiscal: Procurement:** Not applicable for Subgrantee (5 items).

F. **Fiscal: Equipment & Property Management:** Not applicable for Subgrantee (5 items).

G. **Subgrantee Monitoring & Oversight:** Not applicable for Subgrantee (5 items).

